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DOCKET NO.: ISIS-4390

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Muthiah Manoharan

Serial No.: 09/594,387

Group Art Unit: Not Assigned Yet

Filing Date: June 15, 2000

Examiner: Not Assigned Yet

For: LIGAND-CONJUGATED OLIGOMERIC COMPOUNDS

DATE OF DEPOSIT: August 15, 2000

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231.

Maureen S. Griboris
TYPED NAME: Maureen S. Griboris
REGISTRATION NO.: 44,121

Assistant Commissioner for Patents
Washington DC 20231

**SUBMISSION OF VERIFIED STATEMENT(S)
TO ESTABLISH SMALL ENTITY STATUS**

The attached statement is being submitted to establish Small Entity Status in this

- ☒ application
☐ patent

(check all applicable boxes below)

- ☐ Independent inventor(s) - 37 CFR 1.9(c) and 1.27(b)
☐ Non-inventor supporting claim by another - 37 CFR 1.9(c) and 1.27(b)
☒ Small Business Concern - 37 CFR 1.9(d) and 1.27(c)

DOCKET NO.: ISIS-4390



PATENT

☐ Non-Profit Organization - 37 CFR 1.9(e) and 1.27(d)

Date: August 15, 2000

Maureen S. Gibbons
Maureen S. Gibbons
Registration No. 44,121

Woodcock Washburn Kurtz
Mackiewicz & Norris LLP
One Liberty Place - 46th Floor
Philadelphia PA 19103
Telephone: (215) 568-3100
Facsimile: (215) 568-3439



Applicant or Patentee: Manoharan

Serial No.: 09/594,387

Attorney's Docket No.: ISIS-4390

Date Filed: June 15, 2000

For: LIGAND-CONJUGATED OLIGOMERIC COMPOUNDS

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27© - SMALL BUSINESS CONCERN)

I hereby declare that I am:

- () the owner of the small business concern identified below:
- (X) an official empowered to act on behalf of the concern identified below:

NAME OF CONCERN:
ADDRESS OF CONCERN:

ISIS Pharmaceuticals, Inc.
2292 Faraday Avenue
Carlsbad, CA 92008

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that: (1) the number of employees of the concern, including those of its affiliates, does not exceed 500 persons; and (2) the concern has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section.

For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled LIGAND-CONJUGATED OLIGOMERIC COMPOUNDS by inventor(s) MUTHIAH MANOHARAN described in

- () specification filed herewith.
- (X) application serial no. 09/594,387, filed June 15, 2000.
- () patent no. ____, issued ____.



If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9© if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

***NOTE: Separate verified statements are required for each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)**

FULL NAME:

ADDRESS:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME:

ADDRESS:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING
TITLE OF PERSON SIGNING

C. Frank Bennett, Ph.D.
Vice President, Biology
ISIS Pharmaceuticals, Inc.
2292 Faraday Avenue
Carlsbad, CA 92008

ADDRESS OF PERSON SIGNING

SIGNATURE

DATE